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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
13807(Y0R920000457US1)

In Re Application Of: **David M. Chess, et al.**

NOV 17 2000

PTENT & TRADEMARK OFFICE  
US

Serial No.  
09/663,664

Filing Date  
September 15, 2000

Examiner  
Unassigned

Group Art Unit  
Unassigned

**Title: USING RUSTED CO-SERVERS TO ENHANCE SECURITY OF WEB INTERACTION**

Address to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1.  The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2.  The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:
  1. a Final Action under 37 CFR 1.113, or
  2. a Notice of Allowance under 37 CFR 1.311,whichever occurs first.

Also submitted herewith is:

a certification as specified in 37 CFR 1.97(e);

**OR**

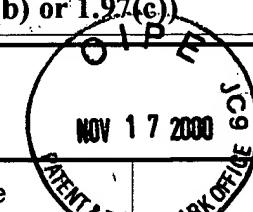
the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

#5

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Title: **USING RUSTED CO-SERVERS TO ENHANCE SECURITY OF WEB INTERACTION**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

A check in the amount of \_\_\_\_\_ is attached.

The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0510/IBM as described below. A duplicate copy of this sheet is enclosed.

Charge the amount of \_\_\_\_\_

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I certify that this document and fee is being deposited on November 15, 2000 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

*Mishelle Mustafa*  
Signature of Person Mailing Correspondence

Mishelle Mustafa

Typed or Printed Name of Person Mailing Correspondence

\*This certificate may only be used if paying by deposit account.

*John S. Sensny*  
Signature

John S. Sensny  
Registration No. 28,757

SCULLY, SCOTT, MURPHY & PRESSER  
400 Garden City Plaza  
Garden City, New York 11530  
(516)742-4343

Dated: November 15, 2000

CC:



#5

PATENTS

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant(s):** David M. Chess,  
et al.

**Examiner:** Unassigned

**Serial No.:** 09/663,664

**Art Unit:** Unassigned

**Filed:** September 15, 2000

**Docket:** 13807 (YOR920000457US1)

**For:** USING RUSTED CO-SERVERS  
TO ENHANCE SECURITY OF  
WEB INTERACTION

**Dated:** November 15, 2000

Assistant Commissioner for Patents  
Washington, DC 20231

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

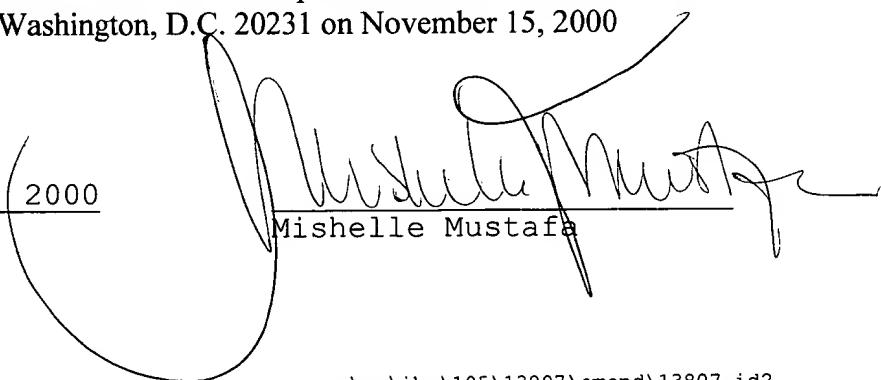
Sir:

In accordance with 37 C.F.R. §§ 1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner of Patents and Trademarks, Washington, D.C. 20231 on November 15, 2000

Dated: November 15, 2000

  
Mishelle Mustafa

1. U.S. Patent No. 5,956,699 issued September 21, 1999, to Wong, et al.;
2. U.S. Patent No. 5,943,424 issued August 24, 1999, to Berger, et al.;
3. U.S. Patent No. 5,933,498 issued August 3, 1999, to Schneck, et al.;
4. U.S. Patent No. 5,917,912 issued June 29, 1999, to Ginter, et al.;
5. U.S. Patent No. 5,903,882 issued May 11, 1999, to Asay, et al.;
6. U.S. Patent No. 5,850,442 issued December 15, 1998, to Muftic;
7. U.S. Patent No. 5,835,595 issued November 10, 1998, to Fraser, et al.;
8. U.S. Patent No. 5,768,389 issued June 16, 1998, to Ishii;
9. U.S. Patent No. 5,768,382 issued June 16, 1998, to Schneier, et al.;
10. U.S. Patent No. 5,742,756 issued April 21, 1998, to Dillaway, et al.;
11. U.S. Patent No. 5,696,827 issued December 9, 1997, to Brands;
12. U.S. Patent No. 5,677,955 issued October 14, 1997, to Doggett, et al.;
13. U.S. Patent No. 5,629,980 issued May 13, 1997, to Stefik, et al.;
14. U.S. Patent No. 5,590,197 issued December 31, 1996, to Chen, et al.;
15. U.S. Patent No. 5,557,518 issued September 17, 1996, to Rosen;
16. U.S. Patent No. 5,148,534 issued September 15, 1992, to Comerford;

17. U.S. Patent No. 5,146,575 issued September 8, 1992, to Nolan, Jr.;

18. U.S. Patent No. 5,109,413 issued April 28, 1992, to Comerford, et al.;

19. U.S. Patent No. 4,916,738 issued April 10, 1990, to Chandra, et al.;

20. U.S. Patent No. 4,817,140 issued March 28, 1989, to Chandra, et al.;

21. Wilhelm, U., et al., "Introducing Trusted Third Parties to the Mobile Agent Paradigm", Institut pour les Communications informatiques et leurs Applications Ecole Polytechnique Federale de Lausanne, 1015 Lausanne, Switzerland;

22. Gobioff, H., et al., "Smart Cards in Hostile Environments", Proceedings of the Second USENIX Workshop on Electronic Commerce, Oakland, California, (November 1996);

23. Havener, W., et al., "Derived Test Requirements for FIPS PUB 140-1, Security Requirements for Cryptographic Modules", http://csrc.nist.gov/cryptval/140-1/140test1.htm, (March 1995);

24. Smith, S., "Secure Coprocessing Applications and Research Issues", Los Alamos National Laboratory, Los Alamos Unclassified Release LA-UR-96-2805, (August 1, 1996);

25. Smith, S., "Validating a High-Performance, Programmable Secure Coprocessor", IBM T.J. Watson Research Center, Yorktown Heights, New York 10598-0704;

26. Yee, B., "Using Secure Coprocessors", School of Computer Science Carnegie Mellon University, Pittsburgh, PA 15213, (1994);

27. "Security Requirements For Cryptographic Modules", http://www.itl.nist.gov/fipspubs/fip140-1.htm, Federal Information Processing Standards Publication 140-1, (January 1994);

28. Dyer, J., et al., "Application Support Architecture for a High-Performance, Programmable Secure Coprocessor", IBM T.J. Watson Research Center, Yorktown Heights, New York 10598-0704;

29. Smith, S., et al., "Trusting Trusted Hardware: Towards a Formal Model for Programmable Secure Coprocessors", Proceedings of the 3<sup>rd</sup> USENIX Workshop on Electronic Commerce, Boston, Mass., (August 31-September 3, 1998);

30. Smith, S., et al., "Using a High-Performance, Programmable Secure Coprocessor", IBM T.J. Watson Research Center, Yorktown Heights, New York 10598, pp. 73-89; and

31. Smith, S., et al., "Practical Private Information Retrieval with Secure Coprocessors", IBM Research Report, RC 21806 (Log#98098), (July 27, 2000).

Applicant is submitting copies of the above-cited references.

Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set out in 37 C.F.R. § 1.97(b), no petition, certification or fee is required.

Respectfully submitted,

*John S. Sensny*  
John S. Sensny  
Registration No. 28,757

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<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				Docket Number (Optional) 13807(YOR920 57US1)		Application Number 09/663,664	
				Applicant(s) David M. Chess, et al.		Filing Date September 15, 2000	
<b>U.S. PATENT DOCUMENTS</b>							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,956,699	09/21/99	Wong, et al.			
		5,943,424	08/24/99	Berger, et al.			
		5,933,498	08/03/99	Schneck, et al.			
		5,917,912	06/29/99	Ginter, et al.			
		5,93,882	05/11/99	Asay, et al.			
		5,850,442	12/15/98	Muftic			
		5,835,595	11/10/98	Fraser, et al.			
		5,768,389	06/16/98	Ishii			
		5,768,382	06/16/98	Schneier, et al.			
		5,742,756	04/21/98	Dillaway, et al.			
		5,696,827	12/09/97	Brands			
<b>FOREIGN PATENT DOCUMENTS</b>							
REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
<b>OTHER DOCUMENTS</b> <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
		Wilhelm, U., et al., "Introducing Trusted Third Parties to the Mobile Agent Paradigm", Institut pour les Communications informatiques et leurs Applications Ecole Polytechnique Federale de Lausanne, 1015 Lausanne, Switzerland					
		Gobioff, H., et al., "Smart Cards in Hostile Environments", Proceedings of the Second USENIX Workshop on Electronic Commerce, Oakland, California, (November 1996)					
EXAMINER				DATE CONSIDERED			
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

<b>INFORMATION DISCLOSURE CITATION</b> <small>(Use several sheets if necessary)</small>				Docket Number (Optional) <b>13807(YOR920 57US1)</b>		Application Number <b>09/663,664</b>	
				Applicant(s) <b>David M. Chess, et al.</b>			
				Filing Date <b>September 15, 2000</b>		Group Art Unit <b>Unknown</b>	
<b>PATENT DOCUMENTS</b>							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		<b>5,677,955</b>	<b>10/14/97</b>	<b>Doggett, et al.</b>			
		<b>5,629,980</b>	<b>05/13/97</b>	<b>Stefik, et al.</b>			
		<b>5,590,197</b>	<b>12/31/96</b>	<b>Chen, et al.</b>			
		<b>5,557,518</b>	<b>09/17/96</b>	<b>Rosen</b>			
		<b>5,148,534</b>	<b>09/15/92</b>	<b>Comerford</b>			
		<b>5,146,575</b>	<b>09/08/92</b>	<b>Nolan, Jr.</b>			
		<b>5,109,413</b>	<b>04/28/92</b>	<b>Comerford, et al.</b>			
		<b>4,916,738</b>	<b>04/10/90</b>	<b>Chandra, et al.</b>			
		<b>4,817,140</b>	<b>03/28/89</b>	<b>Chandra, et al.</b>			
<b>FOREIGN PATENT DOCUMENTS</b>							
REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
						YES	NO
						YES	NO
						YES	NO
						YES	NO
						YES	NO
						YES	NO
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
		Havener, W., et al., "Derived Test Requirements for FIPS PUB 140-1, Security Requirements for Cryptographic Modules", <a href="http://csrc.nist.gov/cryptval/140-1/140test1.htm">http://csrc.nist.gov/cryptval/140-1/140test1.htm</a> , (March 1995)					
		Smith, S., "Secure Coprocessing Applications and Research Issues", Los Alamos National Laboratory, Los Alamos Unclassified Release LA-UR-96-2805, (August 1, 1996)					
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	Yee, B., "Using Secure Coprocessors", School of Computer Science Carnegie Mellon University, Pittsburgh, PA 15213, (1994)		
	"Security Requirements For Cryptographic Modules", <a href="http://www.itl.nist.gov/fipspubs/fip140-1.htm">http://www.itl.nist.gov/fipspubs/fip140-1.htm</a> , Federal Information Processing Standards Publication 140-1, (January 1994)		
	Dyer, J., et al., "Application Support Architecture for a High-Performance, Programmable Secure Coprocessor", IBM T.J. Watson Research Center, Yorktown Heights, New York 10598-0704		
	Smith, S., et al., "Trusting Trusted Hardware: Towards a Formal Model for Programmable Secure Coprocessors", Proceedings of the 3rd USENIX Workshop on Electronic Commerce, Boston, Mass., (August 31-September 3, 1998)		
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